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PTO/SB/21 (08-03)
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TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

		Application Number	10/677,223
		Filing Date	10/02/2003
		First Named Inventor	Douglas Lloyd McGHAN
		Art Unit	2873
		Examiner Name	
Total Number of Pages in This Submission	10	Attorney Docket Number	9-13528-207US

ENCLOSURES *(Check all that apply)*

- [x] Fee Transmittal Form
  - [ ] Fee Attached
- [ ] Amendment/Reply
  - [ ] After Final
  - [ ] Affidavits/declaration(s)
- [ ] Extension of Time Request
- [ ] Express Abandonment Request
- [x] Information Disclosure Statement
- [ ] Certified Copy of Priority Document(s)
- [ ] Response to Missing Parts/ Incomplete Application
  - [ ] Response to Missing Parts under 37 CFR 1.52 or 1.53
- [ ] Drawing(s)
- [ ] Licensing-related Papers
- [ ] Petition
- [ ] Petition to Convert to a Provisional Application
- [ ] Power of Attorney, Revocation Change of Correspondence Address
- [ ] Terminal Disclaimer
- [ ] Request for Refund
- [ ] CD, Number of CD(s) _____
- [ ] After Allowance communication to Group
- [ ] Appeal Communication to Board of Appeals and Interferences
- [ ] Appeal Communication to Group **(Appeal Notice, Brief, Reply Brief)**
- [ ] Proprietary Information
- [ ] Status Letter
- [x] Other Enclosure(s) (please Identify below):

Return Postcard

Remarks

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Kent Daniels Reg. No. 44,206
Signature	
Date	May 3, 2004

CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

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FEE TRANSMITTAL for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT ($) 180

Complete if Known	
Application Number	10/677,223
Filing Date	10/03/2003
First Named Inventor	Douglas Lloyd McGHAN
Examiner Name	
Art Unit	2873
Attorney Docket No.	9-13528-207US

METHOD OF PAYMENT *(check all that apply)*

☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☑ Deposit Account:

Deposit Account Number: 19-5113

Deposit Account Name: Ogilvy Renault

The Director is authorized to: *(check all that apply)*

☑ Charge fee(s) indicated below ☑ Credit any overpayments

☑ Charge any additional fee(s) or any underpayment of fee(s)

☐ Charge fee(s) indicated below, **except for the filing fee** to the above-identified deposit account.

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Fee Code	Large Entity Fee ($)	Small Entity Fee Code	Small Entity Fee ($)	Fee Description	Fee Paid
1001	770	2001	385	Utility filing fee	
1002	340	2002	170	Design filing fee	
1003	530	2003	265	Plant filing fee	
1004	770	2004	385	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	

SUBTOTAL (1) ($) 0

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

	Extra Claims		Fee from below		Fee Paid
Total Claims		-20** =		X	=
Independent Claims		- 3** =		X	=
Multiple Dependent					=

Large Entity Fee Code	Large Entity Fee ($)	Small Entity Fee Code	Small Entity Fee ($)	Fee Description
1202	18	2202	9	Claims in excess of 20
1201	86	2201	43	Independent claims in excess of 3
1203	290	2203	145	Multiple dependent claim, if not paid
1204	86	2204	43	** Reissue independent claims over original patent
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) ($) 0

***or number previously paid, if greater; For Reissues, see above*

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Fee Code	Large Entity Fee ($)	Small Entity Fee Code	Small Entity Fee ($)	Fee Description	Fee Paid
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for *ex parte* reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	420	2252	210	Extension for reply within second month	
1253	950	2253	475	Extension for reply within third month	
1254	1,480	2254	740	Extension for reply within fourth month	
1255	2,010	2255	1,005	Extension for reply within fifth month	
1401	330	2401	165	Notice of Appeal	
1402	330	2402	165	Filing a brief in support of an appeal	
1403	290	2403	145	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,330	2453	665	Petition to revive - unintentional	
1501	1,330	2501	665	Utility issue fee (or reissue)	
1502	480	2502	240	Design issue fee	
1503	640	2503	320	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	180
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	770	2809	385	Filing a submission after final rejection (37 CFR 1.129(a))	
1810	770	2810	385	For each additional invention to be examined (37 CFR 1.129(b))	
1801	770	2801	385	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) ($) 180

SUBMITTED BY

(Complete *(if applicable)*)

Name (Print/Type)	Kent Daniels	Registration No. (Attorney/Agent)	44,206	Telephone	6130780-8673
Signature				Date	May 3, 2004

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OIPE JC151
MAY 1 0 2004
PATENT & TRADEMARK OFFICE

File No.: 9-13528-207US DATE: May 3, 2004

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant:	**Douglas Lloyd McGHAN, et al.**
Serial No.:	**10/677,223**
Filed:	**October 3, 2003**
Title:	**OPTICAL E-FIELD MODULATION USING A MACH-ZEHNDER INTERFEROMETER**
Group Art Unit:	**2873**
Agent of Record:	**Kent Daniels** **Tel: (613) 780-8673**

Commissioner for Patents
United States Patent and Trademark Office
P.O. Box 1450
Alexandria, VA 22313-1450
U.S.A.

Sir:

INFORMATION DISCLOSURE STATEMENT
FEE REQUIRED

Pursuant to the duty of disclosure under 37 CFR 1.56, copies of the references (other than U.S. patents and U.S. published applications) listed on the attached PTO/SB08A and PTO/SB08B Forms are submitted herewith.

The fee required for late submission of this Information Disclosure Statement in accordance with 37 CFR 1.97(c) in the amount of $180.00 is enclosed herewith. The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 19-5113.

In accordance with 37 CFR 1.97(h), the submission of the present information is not to be construed as an admission that such information is, or is considered to be material to patentability.

05/12/2004 MBERHE 00000139 195113 10677223
01 FC:1806 180.00 DA

Commissioner for Patents

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The Examiner is kindly requested to consider the references submitted during the examination of the above-identified application, making the references of record, and to return an initialed copy of the PTO/SB08A and PTO/SB08B Forms to the below-signed agent.

Respectfully submitted,
Douglas Lloyd MCGHAN, et al.

By: _____

Kent Daniels, Registration No. 44,206
OGILVY RENAULT
1600 - 1981 McGill College Avenue
Montreal, Quebec, Canada H3A 2Y3

Encls.

OIPE JC151
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Substitute for form 1449/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 1 of 2

Complete if Known	
Application Number	10/677,223
Filing Date	10/03/2003
First Named Inventor	Douglas Lloyd MCGHAN
Art Unit	2873
Examiner Name	Jessica T. STULTZ
Attorney Docket Number	9-13528-207US

U. S. PATENT DOCUMENTS

Examiner Initials*	Cite No.[1]	Document Number Number-Kind Code[2] (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		US- 5,148,503	09-15-1999	Skeie	None
		US- 5,311,346	05-10-1994	Haas et al.	None
		US- 5,408,498	04-18-1995	Yoshida	None
		US- 5,416,626	05-16-1995	Taylor	None
		US- 5,513,029	04-30-1996	Roberts	None
		US- 5,579,328	11-26-1996	Habel et al.	Fig. 1
		US- 5,761,225	06-02-1998	Fidric et al.	None
		US- 5,892,858	04-06-1999	Vaziri et al.	Figs. 1 & 1A
		US- 5,949,560	09-07-1999	Roberts et al.	None
		US- 5,999,258	12-07-1999	Roberts	None
		US- 6,067,180	05-23-2000	Roberts	Abstract, Fig. 1
		US- 6,115,162	09-05-2000	Graves et al.	Whole Document
		US- 6,124,960	09-26-2000	Garthe et al.	Fig. 3
		US- 6,128,111	11-03-2000	Roberts	None
		US- 6,205,262	03- 20-2001	Shen	None
		US- 6,262,834	07-17, 2001	Nichols et al.	None
		US- 6,304,369	10-16-2001	Piehler	None
		US- 6,441,932	08-27,-2002	Helkey	None
		US- 6,473,013	10- 29,-2002	Velazquez et al.	None

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No.[1]	Foreign Patent Document Country Code[3]-Number[4]-Kind Code[5] (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T[6]
		PCT WO 01/03339	01/11/2001	KONINKLIJKE PHILIPS ELECTRONICS N.V	None	
		PCT WO 01/91342	11/29/2001	PURDUE RESEARCH FOUNDATION	None	
		EP 1 223 694	07/17/2002	FUJITSU LIMITED	None	
		EP 0 971 493	01/12/2000	FUJITSU LIMITED	None	

Examiner Signature		Date Considered	

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Sheet 2 of 2

Complete if Known	
Application Number	10/677,223
Filing Date	10/03/2003
First Named Inventor	Douglas Lloyd MCGHAN
Art Unit	2873
Examiner Name	Jessica T. STULTZ
Attorney Docket Number	9-13528-207US

U. S. PATENT DOCUMENTS

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		US- 6,559,994	05-06-2003	Chen et al.	None
		US- 6,580,532	06-17-2003	Yao et al.	None
		US- 2002/106148	08-08-2002	SCHEMMANN ET AL.	None
		US- 2002/0024694	02-28-2002	NEWELL ET AL.	None
		US- 2002/0018268	02/14/2002	PRICE ET AL.	Fig. 14
		US- 2001/0028760	11/11/2002	YAFFE	None
		US- 5,446,574	09/29/1995	DJUPSJOBACKA, et al.	Fig. 4
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Examiner Name	Jessica T. STULTZ
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NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No.[1]	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T[2]
		Adaptive Electronic Linearization of Fiber Optic Links, OFC 2003, Vol. 2, pp. 477-480, March 2003 Sadhwani et al.	
		Automated Measurement of Polarization Mode Dispersion Using Jones Matrix Eigenanalysis, IEE Photonics	
		Technology Letters, Vol. 4, No. 9, pp. 1066-1069, September 1992, Heffner	
		Chromatic Dispersion Mapping by Sensing the Power Distribution of Four-Wave Mixing Along the Fiber Using Brillouin Probing, OFC 2003, Vol. 2, pp. 714-716, Herraez et al.	
		Design of Broad-Band PMD Compensation Filters, IEEE Photonics Technology Letters, Vol. 14, No. 8, August 2002, A. Eyal et al.	
		Dispersion Compensation by Active Predistorted Signal Synthesis, Journal of Lightwave Technology, Vol. LT-3, No. 4, August 1985, Thomas L. Koch and Rod C. Alferness	
		Dispersion Compensation with an SBS-Suppressed Fiber Phase Conjugator Using Synchronized Phase Modulation, OFC 2003, Vol. 2, pp. 716-717, M. Tani	
		Electrical Signal Processing Techniques in Long-Haul Fiber-Optic Systems, 1990 IEEE-Transactions on Communications, Vol. 38, No. 9, Jack H. Winters, et al.	
		Exact Compensation for both Chromatic Dispersion and Kerr Effect in a Transmission Fiber Using Optical Phase Conjuction, Journal of Lightwave Technology, Vol. 14, No. 3, March	
		High-Dynamic-Range Laser Amplitude and Phase Noise Measurement Techniques, IEEE Journal on Selected Topics in Quantum Electronics, Vol. 7, No. 4, July/August 2001, Ryan P. Sc	

Examiner Signature		Date Considered	

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Examiner Name	Jessica T. STULTZ
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NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No.[1]	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T[2]
		Measurement of High-Order Polarization Mode Dispersion, IEEE Photonics Technology Letters, Vol. 12, No. 7, July 2000, Yi Li et al.	
		Mitigation of Dispersion-Induced Effects Using SOA in Analog Optical Transmission, IEEE Photonics Technology Letters, Vol. 14, No. 8, August 2002, Duk-Ho Jeon et al.	
		Performance of Smart Lightwave Receivers With Linear Equalization, Journal of Lightwave Technology, Vol. 10, No. 8, August 1992, John C. Cartledge, et al.	
		Polarization Effects in Lightwave Systems, Craig. D. Poole and Jonathan Nage. Date unknown.	
		Polarization Modulated Direct Detection Optical Transmission Systesm, Journal of Lightwave Technology, Vol. 10, No. 12, December 1992	
		Predistortion of Electroabsorption Modulators for Analog CATV Systems at 1.55 •m, Journal of Lightwave Technology, Vol. 15, No. 9, September 1997, Gordon C. Wilson et al.	
		Predistortion Techniques for Linearization of External Modulators, 1999 IEEE – Gordon Wilson, Lucent Technologies, NJ 07733, U.S.A.	
		Reduction of Dispersion-Induced Distortion in SCM Transmission Systems by Using Predistortion-Linearized MQW-EA Modulatirs, Journal of Lighwave Technology, Vol. 15, No. 2, Fe	
		Representation of Second-Order Polarisation Mode Dispersion, Electronics Letters, Vol. 35, No. 19, September 16, 1999, A. Eyal et al.	
		Signal Distortion and Noise in AM-SCM Transmission Systems Employing the Feedfrorward Linearized MQW-EA External Modulator, Journal of Lightwave Technology, Vol. 15, No. 8, Aug. 1995, T. Iwai et al.	

Examiner Signature		Date Considered	

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Sheet 3 of 3

Complete if Known	
Application Number	10/677,223
Filing Date	10/03/2003
First Named Inventor	Douglas Lloyd MCGHAN
Art Unit	2873
Examiner Name	Jessica T. STULTZ
Attorney Docket Number	9-13528-207US

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No.[1]	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T[2]
		Soliton Transmission Using Periodic Dispersion Compensation, Journal of Lightwave Technology, Vol. 15, No. 10, October 1997, Nicholas J. Smith et al.	
		Theoretical Basis of Polarization Mode Dispersion Equalization up to the Second Order, Journal of Lightwave Technology, Vol. 18, No. 4, April 2000, Teruhiko Kudou et al.	
		H. GYSEL et al. "Electrical Predistortion to Compensate for Combined Effect of Laser Chirp and Fibre Dispersion", Electronics Letters IEE Stevenage Vol. 27, No. 5, Feb 1991,	
		A. MECOZZI et al. "Cancellation of timing and Amplitude Jitter in Symmetric Links Using Highly Dispersed Pulses", IEEE Photonics Technology Letters, Vol. 13, No. 5, May 2001,	

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